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| FORM PTO-1390 (Modified)<br>(REV. 11-2000)   |  | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE |  | ATTORNEY DOCKET NUMBER<br>71745/55880                           |  |
| TRANSMITTAL LETTER TO THE UNITED STATES<br>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br>CONCERNING A FILING UNDER 35 U.S.C. 371   |  |   |  | U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR)<br><b>09/830980</b> |  |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/IB99/01891</b>   |  | INTERNATIONAL FILING DATE<br><b>3 November 1999</b>     |  | PRIORITY DATE CLAIMED<br><b>3 November 1998</b>                 |  |
| TITLE OF INVENTION<br><b>REGULATOR OF NOTCH SIGNALING ACTIVITY</b>   |  |   |  |   |  |
| APPLICANT(S) FOR DO/EO/US<br><b>Stephen COHEN, Antonius BOUWMEESTER, Julien ROYET</b>  |  |   |  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |  |   |  |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input checked="" type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol> |  |   |  |   |  |
| <b>Items 13 to 20 below concern document(s) or information included:</b>   |  |   |  |   |  |
| <ol style="list-style-type: none"> <li>13. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A change of power of attorney and/or address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail</li> <li>23. <input checked="" type="checkbox"/> Other items or information:</li> </ol>   |  |   |  |   |  |
| Published PCT Application WO 00/26364  |  | Copy of Form PCT/ISA/210                                |  | Copy of Form PCT/IPEA/401                                       |  |
| Copy of Form PCT/RO/101  |  | Copy of Form PCT/IB/308                                 |  | Copy of Form PCT/IPEA/416                                       |  |
| Copy of Form PCT/IB/304  |  | Copy of Form PCT/IPEA/402                               |  | Substitute Sequence Listing 2 pgs.                              |  |
| Preliminary Amendment. and Transmittal of Formal Drawing with FIG. 1 and marked-up FIG. 1  |  |   |  |   |  |

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| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.53) <b>09/83098</b> | INTERNATIONAL APPLICATION NO. <b>PCT/IB99/01891</b> | ATTORNEY'S DOCKET NUMBER <b>71745/55880</b> |
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|---|---------------------|---------------------|-------------|----------------------------------|-----------|
| 24. The following fees are submitted:.  |                     |                     |             | <b>CALCULATIONS PTO USE ONLY</b> |           |
| <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b>  |                     |                     |             |                                  |           |
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1000.00</b> |                     |                     |             |                                  |           |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$860.00</b>   |                     |                     |             |                                  |           |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$710.00</b>   |                     |                     |             |                                  |           |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$690.00</b>  |                     |                     |             |                                  |           |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b>  |                     |                     |             |                                  |           |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>   |                     |                     |             | <b>\$860.00</b>                  |           |
| Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than _____ <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).                      |                     |                     |             | <b>\$130.00</b>                  |           |
| <b>CLAIMS</b>   | <b>NUMBER FILED</b> | <b>NUMBER EXTRA</b> | <b>RATE</b> |                                  |           |
| Total claims  | 25 - 20 =           | 5                   | x \$18.00   | <b>\$90.00</b>                   |           |
| Independent claims  | 3 - 3 =             | 0                   | x \$80.00   | <b>\$0.00</b>                    |           |
| Multiple Dependent Claims (check if applicable). <input checked="" type="checkbox"/>  |                     |                     |             | <b>\$270.00</b>                  |           |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |                     |                     |             | <b>\$1,350.00</b>                |           |
| <input checked="" type="checkbox"/> Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.   |                     |                     |             | <b>\$0.00</b>                    |           |
| <b>SUBTOTAL =</b>   |                     |                     |             | <b>\$1,350.00</b>                |           |
| Processing fee of <b>\$130.00</b> for furnishing the English translation later than _____ <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).                            |                     |                     |             | <b>\$0.00</b>                    |           |
| <b>TOTAL NATIONAL FEE =</b>   |                     |                     |             | <b>\$1,350.00</b>                |           |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>  |                     |                     |             | <b>\$0.00</b>                    |           |
| <b>TOTAL FEES ENCLOSED =</b>  |                     |                     |             | <b>\$1,350.00</b>                |           |
|   |                     |                     |             | <b>Amount to be: refunded</b>    | <b>\$</b> |
|   |                     |                     |             | <b>charged</b>                   | <b>\$</b> |

- a. ☒ A check in the amount of **\$1,350.00** to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **04-1105**. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

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*Cara Z. Lowen*  
 SIGNATURE

Cara Z. Lowen

NAME

38,227

REGISTRATION NUMBER

May 2, 2001

DATE